

Identification, Recovery and the Magic Triangle



Emergency Management for
Essential Records

Montana IT Conference

December 4, 2009

Secretary of State

Records and Information Management

Welcome!

- ❑ Overview and Objectives
 - Montana IT Conference 2009



- ❑ Importance of Safeguarding Essential Records (MCA 2-6-206)

Avoid Your World Unraveling



- ❑ Statute (MCA 2-6-206)
- ❑ Business critical
- ❑ Financially insurable
- ❑ Supporting:
 - Agency Emergency Action Plans (EAP)
 - State and Agency Retention Schedules
 - Continuity Planning (LDRPS)
 - Risk Management Property & Casualty Claims

Essential Records Are...

- **Essential records** are those needed to meet operational responsibilities or to protect the legal and financial rights of the government and those affected by government activities.
- **Essential records** normally constitute less than 10% of an agency's recorded holdings.

Emergency Management



FEMA



IPER

INTERGOVERNMENTAL PREPAREDNESS FOR ESSENTIAL RECORDS
Records-related emergency training for state and local governments

Council of State Archivists
www.statearchivists.org/prepare/iper/

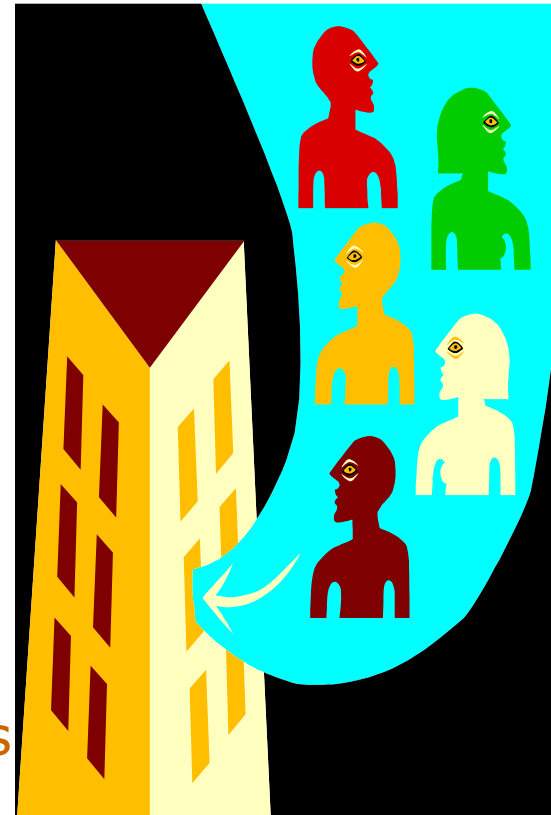
Essential Records Examples Include...

- Disaster Plan
- Delegations of Authority
- Building Plans
- Computer System Documentation
- Documentation Relating to Protection (EAP)
- Inventories of Records, Equipment, Access, Permissions
- Accounts Receivables
- Payroll, Retirement
- Insurance Policies, SLAs, MOUs,
- Land/Water Records, Utilities, Treaties
- Contracts, Leases
- Research Findings, Product Development
- Other Significant Obligations

Essential Records

Building A Policy and Plan

- ❑ Include Agency Stakeholders
 - Agency Head
 - Emergency Management Planner
 - Program Managers
 - Records Manager or Officer
 - IT Manager
 - Security Officer
 - Facility Manager
 - Human Resources
 - ❑ NEO, Training, Non-Disclosures

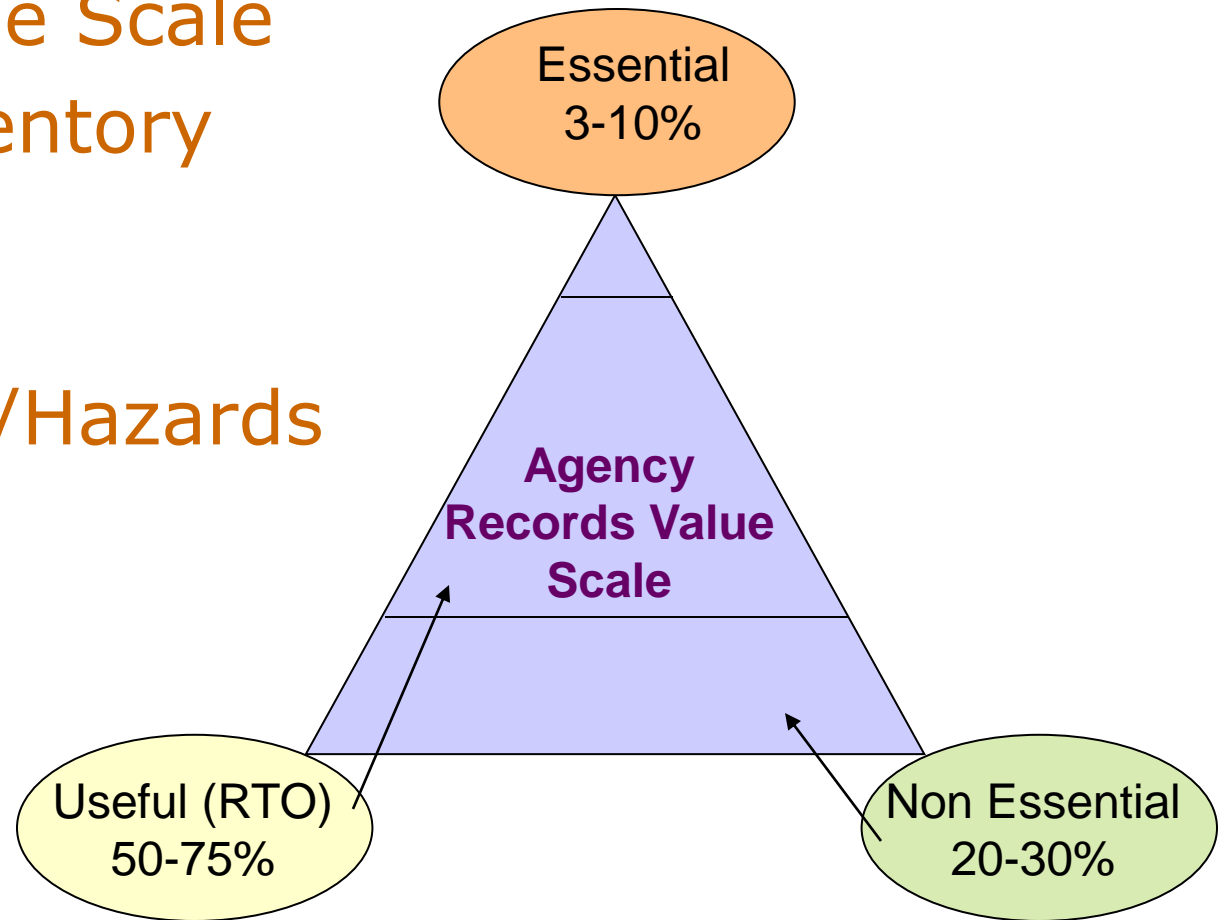


Emergency Action Planning

- ❑ Identification
- ❑ Prioritization
- ❑ Protection
- ❑ Availability
- ❑ Accessibility
- ❑ Resumption
- ❑ Review
- ❑ REAP, Toolkit
- ❑ SEFs, Hazards/Risks
- ❑ Strategies, Measures
- ❑ Assessment, RTOs
- ❑ Facility(s), the “keys”, hardware/software
- ❑ Implementation of Plan, SLAs
- ❑ Evaluate Outcome, Revise

Identification and Prioritization of Essential Records

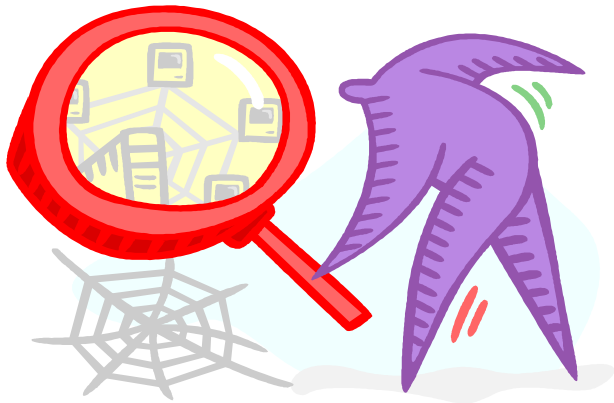
- ❑ Records Value Scale
- ❑ Conduct Inventory
 - Active
 - Inactive
- ❑ Assess Risks/Hazards
- ❑ Prioritize



Identification and Prioritization of Essential Records



- ❑ Essential Records are usually copies of the originals
- ❑ Sole purpose is to maintain critical information



- ❑ Limited time value
- ❑ Periodic cycling required

Inventory of Essential Records

- ❑ Keep in mind your inventory goals
- ❑ Understand the scope of the inventory
 - Mission/Functions
- ❑ Plan the inventory
- ❑ Conduct the inventory
- ❑ Verify and analyze the results
- ❑ Use to strategize and measure risks pertinent to protection, access, resumption....

Protection of Essential Records

- ❑ Once inventoried, identify and implement steps towards protection strategies and methods based on location and media.
- ❑ Protection methods need to be based on risk analysis, per emergency or incident.
 - Water System or Building Unavailability
 - Freezer Trucks Hot/cold off-site

Protection Risk Identification

□ Rate the...

- Loss of document or group of records
- Loss of a function, or several, localized
- Loss of a function, or several, regionally
- Destruction of building (Working Hours / Non)
- Regional natural disaster
- Most severe conceivable

Protection Risk Identification

- ❑ Consider the...
 - Existing risks to records
 - Physical location and media
 - ❑ Recovery Time Objective (RTO) – priority to restore
 - Security and controls
 - ❑ Recovery Point – how recent must data be
 - ❑ Data Capacity – how much needs restored
 - Vulnerable areas
 - ❑ Working Files
 - Timing
 - ❑ Critical times of year

Protection Strategies

- ❑ Avoidance
- ❑ Acceptance
- ❑ Mitigation
- ❑ Transfer
- ❑ Automatic/Routine Dispersal
- ❑ Evacuation
- ❑ On-site Protection
- ❑ E-vaulting
- ❑ Tape Backup
- ❑ Data Conversion
- ❑ Mirroring/Replication

Protection for Essential Records

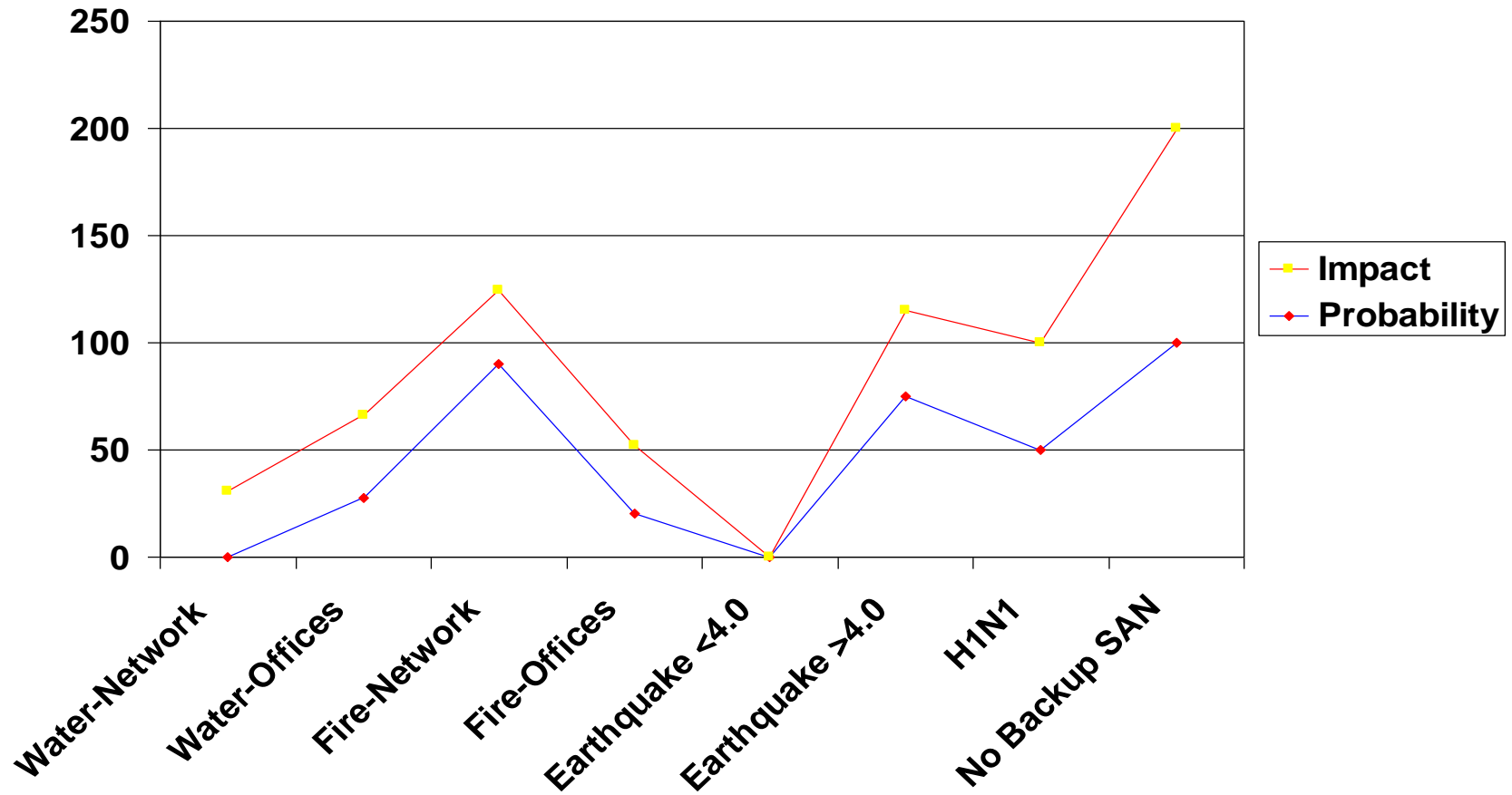


- ❑ Identify risks involved if records remain in their current location; on their current media.
- ❑ Identify the difficulty to reconstitute records if destroyed or damaged.
- ❑ Is off-site hardware/software necessary?
- ❑ Is alternative storage and media advisable?
- ❑ Is it necessary to duplicate the records to support continuity?

$\text{Risk} = \text{Probability} \times \text{Impact}$

Protection

$$\text{Risk} = \text{Probability} \times \text{Impact}$$



Protection Measures

▣ State of MT Emergency Resource Directory

Resource Directory Sections	Links to National Resources To be compiled by IPER staff and advisors	Links to State/Territorial Resources To be compiled by state/territorial Leadership
Laws, regulations,	Federal statutes and regulations re: records retention and disposition,	Montana Codes Annotated http://data.opi.mt.gov/bills/mca_toc/2_6.htm
Standards, guidelines, advice, tips	ANSI/ARMA 5-2003, Vital Records Programs: Identifying, Managing, and Recovering Business-Critical Records NAGARA http://www.nagara.org/displaycommon.cf?an=1&subarticlenbr=70	

Accessibility of Essential Records

- ❑ Equally important is access to essential records when you need them, in a timely manner (RTO).
- ❑ Strategies need to include current procedures, access and security identification, storage on-site or off-site, occasional testing or drills.
- ❑ Identify what equipment, applications and supplies are needed.
- ❑ Ensure that for electronic records that system documentation is current and adequate to allow access and operate the application.

Accessibility of Essential Records

❑ Prioritize Access & Timeframes

■ Priority 1-Immediate (0-12 hrs)

- ❑ EAPs
- ❑ Call Trees
- ❑ Delegations

■ Priority 2-Resumption (24-72 hrs)

- ❑ Systems Documentation
- ❑ Personnel Records
- ❑ DR Vendor Contacts

■ Priority 3 – Business/Mission Critical (Normal Ops Restored)



Accessibility-Prioritization Chart

□ Prioritization Chart

- Defines priority levels
- Declares access permissions
- Identifies which vital records fall within which priority level
- Provides decisions already made vs. at the time of crisis
- Crucial for response and recovery
- Supports cycling schedule

Accessibility Prioritization Chart

Essential Records Prioritization Chart				
Priority Class	Definition	Access	Recovery Time Objective	Records Title
Priority 1	These records and information are essential for emergency operations and are therefore needed immediately.	On-site-electronic SOS-RIM – H/C and tape backups DOA Hot Site EAP responders HR Div Admin Purchasing Bur Chf LDRPS Staff	0-12 hours	EAP Manual Call Trees Vital Records Plan Facility Plans Security Access Lists
Priority 2			24-72 hours	
Priority 3			72 hours - full resumption	

Accessibility – Cycling Schedule

- ❑ Priority Levels
- ❑ Time Values
- ❑ Scheduled Replacement
- ❑ Full or Partial Backups
- ❑ Permissions Updates
- ❑ Periodic Testing of Recovery

Accessibility – Storage Considerations

- ❑ Hot site
- ❑ Cold site
- ❑ Vaults
- ❑ Fire-resistant containers
- ❑ Secure, central file room(s)
- ❑ Vital records storage site
- ❑ Equipment and electricity needs
- ❑ LAN, WAN, systems and data, Email
- ❑ Records storage needs
- ❑ Security
- ❑ Environmental controls
- ❑ Access/Permission keys
- ❑ Responders Needs
- ❑ “Go Kits”

Records and Information Management Resources

- ❑ SOS - Records and Information Management
 - <http://www.sos.mt.gov/Records/index.asp>
 - <http://www.arma.org/>
- ❑ Council of State Archivists
 - <http://www.statearchivists.org/iper/index.htm>
- ❑ Nat'l Archives and Records Administration (NARA)
 - <http://www.archives.gov/records-mgmt/>
- ❑ FEMA
 - <http://www.fema.gov/plan/index.shtm>
- ❑ Dept of Administration Emergency Website
 - <http://doa.mt.gov/emergency/default.mcpix>
- ❑ DOA Security and Continuity Services Bureau
 - <http://continuity.mine.mt.gov/default.mcpix>

Thank You!



- ❑ Questions?
- ❑ Happy Holidays!
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